

Coast Guard, DHS

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MMC endorsement, license, or document held by the assessor, and the assessor's signature confirming that his or her initials certify that he or she has witnessed the practical demonstration of a particular task or skill by the applicant.

(2) The TRB referred to in paragraph (b) of this section may be maintained electronically, provided the electronic record meets Coast Guard-accepted standards for accuracy, integrity, and availability.

(3) The Coast Guard may accept other forms of documentation as meeting the requirements to maintain the training-record book.

(c) *Use of towing officer assessment records (TOARs).* Each applicant for an endorsement as master or mate (pilot) of towing vessels, and each master or mate of self-propelled vessels of 200 GRT or more, seeking an endorsement for towing vessels, must complete a TOAR approved by the Coast Guard that contains at least the following:

(1) Identification of the applicant, including his or her full name, and reference number.

(2) Objectives of the training and assessment.

(3) Tasks to perform or skills to demonstrate.

(4) Criteria to use in determining that the tasks or skills have been performed properly.

(5) A means for a designated examiner (DE) to attest that the applicant has successfully completed a practical demonstration and has proved proficient in the task or skill under the criteria.

(6) Identification of each DE by his or her full name and reference number, job title, ship name and official number, and serial number of the MMC, license, or document held, and printed name and signature confirming that his or her initials certify that he or she has witnessed the practical demonstration of a particular task or skill by the applicant.

§ 10.405 Qualification as qualified assessor (QA) and designated examiner (DE).

(a) To become a QA, an applicant must have documentary evidence to establish—

(1) Experience, training, or instruction in assessment techniques;

(2) Qualifications in the task for which the assessment is being conducted; and

(3) Possession of the level of endorsement, or other professional credential, which provides proof that he or she has attained a level of experience and qualification equal or superior to the relevant level of knowledge, skills, and abilities to be assessed.

(b) To become a DE for towing officer assessment records (TOARs), an applicant must have documentary evidence to establish—

(1) Experience, training, or instruction in assessment techniques on towing vessels;

(2) Qualifications on towing vessels in the task for which the assessment is being conducted; and

(3) Possession of the level of endorsement on towing vessels, or other professional credential, which provides proof that he or she has attained a level of qualification equal or superior to the relevant level of knowledge, skills, and abilities described in the training objectives.

(c) Documentary evidence may be in the form of performance evaluations, which include an evaluation of effectiveness in on-the-job organization and delivery of training, or a certificate of successful completion from an "assessor training" course.

(d) In order to renew his or her qualifications, each QA and DE must have either experience, training, or evidence of instruction in effective assessment within the past 5 years.

§ 10.406 Approved courses.

The NMC maintains the list of training organizations and the approvals given to the training they offer. This information is available online at www.uscg.mil/nmc.

§ 10.407 Approval of training programs.

(a) Training programs approved to qualify a mariner to hold an STCW or national endorsement must meet the standards in this section or the requirements in § 10.402 of this subpart. All such programs must also meet the same standards as those found in

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§10.403 of this subpart. The Coast Guard will accept information submitted by training providers to state, regional, and/or national accrediting bodies as evidence such providers satisfy one or more of the requirements of this section.

(b) *Categories.* The Coast Guard may approve programs designed to substitute for or fulfill any or all of the following:

(1) A portion of sea service requirements.

(2) Examinations required by the Coast Guard.

(3) Professional competency requirements.

(4) Regulatory requirements.

(c) *Request for approval.* Organizations desiring program approval by the Coast Guard must submit a written request and a complete curriculum package to the National Maritime Center (NMC), either by mail or electronically. The curriculum package must include the following information:

(1) *A cover letter.* The cover letter must contain—

(i) The name of the organization providing the instruction;

(ii) The location(s) where it will be held;

(iii) A general description and overview of the program, including the individual courses that are part of the program;

(iv) The category of acceptance being sought as listed in paragraph (b) of this section; and

(v) Reference to regulatory requirements met by the training.

(2) *A goal statement(s).* The goal statement should describe—

(i) The specific performance behaviors to be measured;

(ii) The conditions under which the performance behavior(s) will be exhibited; and

(iii) The level of performance behavior(s) that is to be achieved.

(3) *Performance objectives.* Performance objectives are statements, which identify the specific knowledge, skill, or ability the student should gain and display as a result of the training or instructional activity. A performance objective is made up of three elements: Expected student performance, condition, and criterion.

(4) *Assessment instruments.* Assessment instruments are any tools used to determine whether the student has achieved the desired level of knowledge, understanding, or proficiency.

(5) *Instructor information.* Documentary evidence that each instructor and assessor—

(i) Has either experience, training, or evidence of instruction in effective instructional techniques and/or in effective assessment techniques;

(ii) Is qualified in the task for which the training is being conducted and have relevant experience; and

(iii) Has attained a level of experience and qualification equal or superior to the relevant level of knowledge, skills, and abilities described in the performance objective.

(6) *Site information.* Site information must include a description of the facility or facilities at which the training will be held. Authority to teach at an alternative site requires approval by the NMC.

(7) *A teaching syllabus.* A detailed teaching syllabus providing the following information:

(i) Instructional strategy. Aspects of instructional strategies should include—

(A) The order of presentation;

(B) The level of interaction, including the student-to-teacher ratio;

(C) Feedback;

(D) Remediation;

(E) Testing strategies; and

(F) Media used to present information.

(ii) Instructional materials, including lesson plans containing—

(A) Pre-instructional activities;

(B) Content presentation;

(C) Student participation;

(D) Assessment processes; and

(E) Other instructional activities, such as homework and reading assignments.

(iii) Course surveys on the relevance and effectiveness of the training completed by students.

(iv) Course schedule, including the duration and order of lessons, and an indication as to whether each lesson is—

(A) A classroom lecture;

(B) A practical demonstration;

(C) A simulator exercise;

(D) An examination; or
 (E) Another method of instructional reinforcement.

(8) *Program completion certificate.* A sample program completion certificate.

(d) *Approval notification.* The Coast Guard will notify each applicant for program approval when an approval is granted or denied. If the Coast Guard denies a request for approval, the Coast Guard will inform the applicant of the reasons for the denial and describe the corrections required for granting an approval.

(e) *Validity of program approval.* Unless surrendered, suspended, or withdrawn, an approval for a program is valid for up to a maximum of 5 years after issuance, unless—

- (1) The school ceases operation;
- (2) The school gives notice that it will no longer offer the program;
- (3) The owner or operator fails to submit any required report; or
- (4) Any change occurs in the ownership of the school to which the approval was issued.

(f) *Significant changes to the course program approval.* (1) Any significant changes to the program approval or the content of the program will be handled as a request for renewal of an approval (as specified in paragraph (f) of this section), or as a request for an original approval (as specified in paragraph (b) of this section), depending on the nature and scope of the change.

(2) The Coast Guard may not accept program completion certificates if the program does not follow the conditions of its approval.

(g) *Renewal of program approval.* (1) If the owner or operator of a training school desires to have a program's approval renewed, the owner or operator must submit a request to the NMC accompanied by the information from paragraphs (c)(1), (c)(5), (c)(6), and (c)(7) of this section.

(2) If satisfied that the content and quality of instruction remain satisfactory, the Coast Guard will approve the request.

(3) The renewed approval is valid as detailed in paragraph (d) of this section.

(h) *Suspension of approval.* (1) The Coast Guard may suspend the approval, require the holder to surrender the cer-

tificate of approval, and may direct the holder to cease claiming the program is Coast Guard-approved, if it determines that a specific program does not comply with the—

- (i) Applicable provisions of 46 CFR parts 10, 11, 12, or 13;
- (ii) Requirements specified in the program's approval; or
- (iii) Program's curriculum package as submitted for approval.

(2) The Coast Guard will notify the approval holder in writing of the intent to suspend program approval and the reasons for suspension. If the approval holder fails to correct the reasons for suspension, the program will be suspended. The Coast Guard will notify the approval holder that the specific program fails to meet applicable requirements and explain how the deficiency can be corrected.

(3) The Coast Guard may grant the approval holder up to 90 days to correct the deficiency.

(4) Program completion certificates will not be accepted for training provided during a period of suspension or expiration.

(i) *Withdrawal of approval.* The Coast Guard may withdraw approval for any program—

(1) When the approval holder fails to correct the deficiency of a suspended program within 90 days; or

(2) Upon determining that the approval holder has demonstrated a pattern or history of any of the following:

- (i) Failing to comply with the applicable regulations or the program approval requirements.
- (ii) Deviating from approved program curricula.

(iii) Presenting instructional material in a manner that does not achieve the learning objectives.

(iv) Falsifying any document required and integral to the conduct of the program, including, but not limited to, attendance records, written test grades, course completion grades, or assessment of practical demonstrations.

(j) *Appeals of suspension or withdrawal of approval.* Anyone directly affected by a decision to suspend or withdraw an approval may appeal the decision to the Commandant as provided in § 1.03-40 of this chapter.